



## Public Utility Commission of Texas Application for Electricity Broker Registration

### General Information

**Individual employees and agents of broker firms and persons acting only as agents of retail electric providers are not required to register as brokers.**

Under Public Utility Regulatory Act (PURA) Section 39.3555, any person that provides brokerage services for compensation or other consideration must register as a broker with the Public Utility Commission of Texas (Commission). "Brokerage services" means providing advice or procurement services to, or acting on behalf of, a retail electric customer regarding the selection of a retail electric provider, or a product or service offered by a retail electric provider. Brokers do not sell or take title to electric energy.

Registered brokers must comply with customer protection provisions, disclosure requirements, and marketing guidelines established by the Commission. An administrative penalty may be assessed for failure to comply with PURA or Commission rules.

### Registration Form

Answer all of the questions on the registration form completely, providing all relevant information. If substantive changes occur while the application is pending, promptly notify the Commission by filing seven copies (six copies and one original) of the registration form showing the changes with the Commission's Filing Clerk under the control number assigned to the application.

### Affidavit

The owner, partner, or officer of the registering entity must swear to and affirm the truthfulness, correctness, and completeness of the information provided in this registration by attaching a signed and notarized copy of the Affidavit provided with this registration form.

### Filing Instructions

Submit **seven copies (an original and six copies)** of the completed registration form and signed and notarized Affidavit to:

Central Records Filing Clerk  
Public Utility Commission of Texas  
1701 N. Congress Avenue  
P.O. Box 13326  
Austin, Texas 78711-3326  
Telephone: (512) 936-7180



## ELECTRICITY BROKER REGISTRATION FORM

**PROJECT NO. 49779**

### 1. Check the most appropriate box to describe this submission:

- ☐ This is a new broker registration
- ☐ This supplies information for a pending broker registration
- ☐ This amends an existing, completed broker registration

Provide an explanation of the amendment:

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### 2. Authorized Representative or Attorney to contact about this application:

Name		Title
Business Address		
City	State	Zip
Telephone Number		
Email Address		

### 3. Registering Entity: List the registering entity's legal name, business address, and telephone number.

Name		
Business address		
City	State	Zip
Telephone Number		

### 4. Type of organization of registering entity:

- ☐ Sole proprietor ☐ Other
- ☐ Corporation
- ☐ Limited Liability Company, L.L.C
- ☐ Limited Partnership

5. Description of the brokerage services provided by the registering entity and type of customers served.

Description of Services:

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Types of Customers: *Check all that apply*

- ☐ Residential      ☐ Industrial      ☐ Other  
☐ Commercial      ☐ Municipalities

**6. Other Names.** List any trade, commercial, and doing-business-as (d/b/a) names, other than the legal name listed in #3 above, under which the registering entity intends to operate. Any name in which a corporation intends to operate must be registered with the Secretary of State.

<b>1<sup>st</sup></b>	<b>2<sup>nd</sup></b>
<b>3<sup>rd</sup></b>	<b>4<sup>th</sup></b>
<b>5<sup>th</sup></b>	

**7. Officers.** Provide, as **Attachment A**, the names, business addresses, email addresses, and phone numbers of the registering entity's officers, directors, and partners, as applicable.

☐ Attachment A

**8. Customer Service Contact.** List the telephone number and email address of the customer service department. If the registering entity does not have a dedicated customer service department, then provide the name, title, address, email address, and telephone number of the customer service contact person.

Customer Service Department	Telephone Number	Email Address
Name	Title	
Business address		
City	State	Zip
Telephone Number		
Email Address		

**9. Regulatory contact person.** List the name, physical business address, telephone number, and email address for a regulatory contact person.

Name	Title	
Business address		
City	State	Zip
Telephone Number		
Email Address		

**10. Secretary of State Record.** Entities who must register with the Secretary of State must provide a copy of the certificate of status issued by the Texas Secretary of State certifying that the registering entity is authorized to transact business in Texas.

☐ Copy of Secretary of State certificate of status is attached.

## AFFIDAVIT

My name is \_\_\_\_\_. I am the \_\_\_\_\_ of the Registering Entity.

I swear or affirm that I have personal knowledge of the facts stated in the attached registration, that I am competent to testify to them, and that I have the authority to submit this application form on behalf of the registering entity. I further swear or affirm that all statements made in the Registration Form are true, correct and complete and that any substantial changes in such information will be provided to the Public Utility Commission of Texas in a timely manner. I swear or affirm that the registering entity understands and will comply with all requirements of the applicable law and rules, including customer protection provisions, disclosure requirements, and marketing guidelines for retail electric service.

\_\_\_\_\_  
Signature of Registering Entity's Owner, Partner, or Officer

\_\_\_\_\_  
Printed Name

\_\_\_\_\_  
Name of Registering Entity

**Sworn and subscribed before me this \_\_\_\_\_ day of \_\_\_\_\_, \_\_\_\_\_.**  
Month Year

\_\_\_\_\_  
Notary Public in and For the State of \_\_\_\_\_.  
My commission expires on \_\_\_\_\_.